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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/936,623	02/13/2002	Caroline Matheson	M61.12-0392	8734

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EXAMINER

AZAD, ABUL K

ART UNIT

PAPER NUMBER

2654

DATE MAILED: 07/13/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/936,623	Applicant(s) MATHESON, CAROLINE	
	Examiner ABUL K. AZAD	Art Unit 2654	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 31 March 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on 3/23/05 are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☒ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

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DETAILED ACTION

1. This action is in response to the communication filed on March 31, 2005.
2. Claims 1-20 are pending in this action. Claims 1 and 15 have been amended.
Claims 16-20 have been newly added.

Oath/Declaration

3. The oath or declaration is defective. A new oath or declaration in compliance with 37 CFR 1.67(a) identifying this application by application number and filing date is required. See MPEP §§ 602.01 and 602.02.

The oath or declaration is defective because:

It does not identify the foreign application for patent or inventor's certificate on which priority is claimed pursuant to 37 CFR 1.55, and any foreign application having a filing date before that of the application on which priority is claimed, by specifying the application number, country, day, month and year of its filing.

The applicant fails to provide a particular day, month and year of the priority of the filing of the applications.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

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5. Claims 1-20 rejected under 35 U.S.C. 102(e) as being anticipated by Papineni et al. (US 6,246,981).

As per claim 1, Papineni teaches, "a man-machine dialogue system comprising an interactive computer system with":

"an input device for receiving input from a user" (Fig. 1, "speech input");

"an output device for generating output to a user" (Fig. 1, "speech output");

"an object system which is an information source or store, or a command and control device, the object of the dialogue being to interface between this system and a user" (Fig. 1, element 4);

"a dialogue manager, which controls the dialogue between the object system and a user dependent upon: a dialogue specification, comprising a set of augmented transition networks (ATNs), having a set of states through which are propagated one or more tokens, each- token comprising a set of fields which together define the current state of belief of the dialogue controller for the user's reply to a question posed by the dialogue manager, dependent upon the preceding user-system interchanges and information obtained from the object system" (Fig. 1, element 40; col. 8, line 19 to col. 9, line 45, here ATNs reads on "forms"; token reads on "slot").

As per claim 2, Papineni teaches, "means for copying and updating the token through each state in an ATN as the dialogue controller passes therethrough" (col. 8, line 19 to col. 9, line 45).

As per claim 3, Papineni teaches, "wherein each token is linked to its predecessor, so enabling the dialogue controller to regain a previous state of data maintained at some point during the history of the dialogue" (col. 11, lines 39-67).

As per claim 4, Papineni teaches, "wherein each state is associated with an action or actions, and each action may receive, modify and transmit a token or tokens" (col. 11, lines 39-67).

As per claim 5, Papineni teaches, "employing an ATN to specify the course of the dialogue, and wherein each state may represent a junction, a system action, such as a user interaction, or an embedded dialogue represented by a further augmented transition network" (col. 8, line 19 to col. 9, line 45).

As per claim 6, Papineni teaches, "where the input device is a speech recognizer" (Fig. 1, element 20).

As per claim 7, Papineni teaches, "where the input device is constrained by a set of statistical grammars which may be defined using an ATN" (col. 8, line 19 to col. 9, line 45).

As per claim 8, Papineni teaches, "wherein each of the states may represent a junction, a terminal state, such as a word or other acoustical phenomenon, or an embedded statistical grammar represented by a further ATN" (col. 8, line 19 to col. 9, line 45).

As per claim 9, Papineni teaches, "wherein tokens are propagated from the user-interaction dialogue state to the start of the input network, and through a best matching

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path of the input network back to the user-interaction dialogue state" (col. 8, line 19 to col. 9, line 45).

As per claim 10, Papineni teaches, "wherein a token is propagated for each alternative input hypothesis considered by the input device, and the score assigned to the hypothesis is a modifiable field of the token" (see Appendix B).

As per claim 11, Papineni teaches, "wherein the output device is a speech generator" (Fig. 1, element 70).

As per claim 12, Papineni teaches, "wherein user output is represented by an augmented transition network" (col. 8, line 19 to col. 9, line 45).

As per claim 13, Papineni teaches, "where the states represent an output word or other acoustical or linguistic phenomenon" (col. 8, line 19 to col. 9, line 45).

As per claim 14, Papineni teaches, "wherein tokens are propagated from the dialogue user-interaction state to the first user output state, and from each user output state to the start of the input network" (col. 8, line 19 to col. 9, line 45).

As per claims 15-20, they are interpreted thus rejected for the same reasons set forth in the rejection of claims 1-14.

Response to Arguments

6. The applicant argues, "In contrast, it is believed that Papineni's user input is declarative and intended to cause a response by the dialogue manager back to the user. This response can be a request for additional information or performing a task. ECo1. 9, lines 30- 35) Thus, the information exchange is believed to be in the opposite direction compared with the present inventions".

The examiner disagrees with the applicant's above assertion because information is not in the opposite direction, but in the same direction of the claimed invention, for example see Appendix B, particularly the computer says "do you want to buy, sell, transfer, get price quotes, or inquire about your portfolio" is defines a current state of belief; based on the Human's response to the computer question the computer proceeds to the next state.

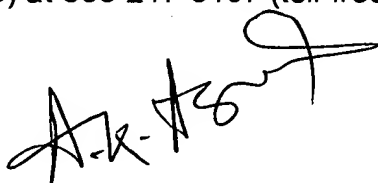
Contact Information

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to ABUL K. AZAD whose telephone number is (571) 272-7599. The examiner can normally be reached on Monday-Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, RICHEMOND DORVIL can be reached on (571) 272-7602. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

A handwritten signature in black ink, appearing to read 'A.K. Azad', with a stylized flourish at the end.

ABUL K. AZAD
Primary Examiner
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July 7, 2005